



DEPARTMENT OF THE NAVY
NAVAL INTELLIGENCE ACTIVITY
2000 PENTAGON
WASHINGTON, DC 20395-2000

NIAINST 5200.1
NIA-IG

JUL 02 2019

NIA INSTRUCTION 5200.1

From: Director, Naval Intelligence Activity

Subj: NAVAL INTELLIGENCE ACTIVITY AUDIT LIAISON AND FOLLOW-UP

Ref: (a) Federal Managers' Financial Integrity Act of 1982, P.L. 97-255
(b) SECNAVINST 7510.7F
(c) SECNAVINST 7700.7
(d) OPNAVINST 5200.24C

1. Purpose. To establish policy and guidance for the Naval Intelligence Activity (NIA) concerning coordination, processing, and follow-up of requests from external federal government oversight organizations such as the Government Accountability Office (GAO), Office of National Intelligence Inspector General (ODNI IG), Department of Defense Inspector General (DoD IG), Defense Contract Agency, Defense Audit Service, Defense Intelligence Agency Inspector General (DIA IG), Naval Audit Service (NAVAUDSVC), and Naval Inspector General (NAVINSGEN).

2. Applicability. This instruction applies to NIA, and its subordinate commands and detachments.

3. Discussion. External oversight organizations perform independent audits, inspections, reviews, and evaluations of NIA to determine the adequacy and effectiveness of NIA's practices, procedures, and controls. This is accomplished through objectively reporting findings, making constructive recommendations, and providing advice to management in planning actions to be taken on findings and recommendations. The Naval Audit Service performs financial and performance audits of NIA components on a rotating schedule. In addition, NIA component missions, operations, and administrative functions are subject to review by other organizations (e.g., NAVINSGEN, ODNI IG, DIA IG, DOD IG, Defense Contract Audit Agency, and GAO).

4. Responsibilities. The NIA Inspector General (NIA IG) is the principal point of contact and liaison for all external oversight activity (e.g., audits, inspections, reviews, evaluations), directs, and monitors compliance as per references (a) through (d).

a. The NIA IG will coordinate visits with NIA component personnel, arrange for facility support, maintain a master file of announced audits, findings, recommendations and relevant correspondence, and supervise follow-up activity.

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b. NIA employees including ONI staff and subordinate commands must inform the NIA IG of all known external oversight activity, as well as any substantive contact with oversight organizations during the course of an audit, review, inspection, or evaluation.

c. NIA managers must ensure vigorous follow-up action on recommendations resulting from these oversight activities. NIA components are also responsible for positive and timely responses to recommendations made by oversight organizations. All responses will be submitted to:

(1) NIA IG for review and consolidation.

(2) Director, NIA for approval.

(3) The external oversight organization.

5. Records Management. Records created as a result of this instruction, regardless of media or format, must be managed per SECNAV Manual 5210.1 of January 2012.

6. Review and Effective Date. Per OPNAVINST 5215.17A, the NIA IG will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



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Releasability and distribution:

This instruction is cleared for public release and is available electronically only via Department of the Navy Issuances Web site, <https://www.secnav.navy.mil/doni/default.aspx>